

04-08-0

3713 \$

Please type a plus sign inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/864,927	
	<b>Filing Date</b>	May 24, 2001	
	<b>First Named Inventor</b>	Lee E. Cannon	
	<b>Group Art Unit</b>	3713	
	<b>Examiner Name</b>	Not Yet Assigned	
<b>Total Number of Pages in This Submission</b>	1	<b>Attorney Docket Number</b>	29757/AG32-CIP

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Preliminary Amendment <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below)
<b>Remarks</b>		

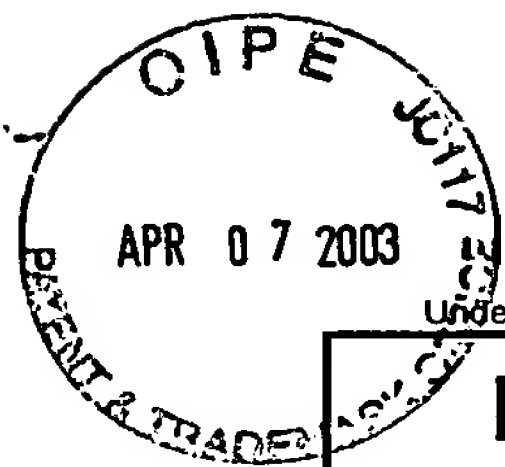
RECEIVED  
APR 16 2003  
TECHNOLOGY CENTER R3700

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual Name	MARSHALL, GERSTEIN & BORUN Jeremy R. Kriegel - 39,257
Signature	
Date	April 7, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 233431794 US, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: April 7, 2003

Signature: (Richard Zimmermann)



# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 546.00

## Complete if Known

Application Number 09/864927-Conf. #02424  
Filing Date May 24, 2001  
First Named Inventor Lee E. Cannon  
Examiner Name Not Yet Assigned  
Group Art Unit 3713  
Attorney Docket No. 29757/AG32-CIP

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account

Deposit Account Number

13-2855

Deposit Account Name

MARSHALL, GERSTEIN & BORUN

The Commissioner is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$) 0.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
20** =			
Independent Claims	3** =		
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)	1614; 1615			Claims - extra independent (over three); Claims - extra total (over 20)	546.00

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 546.00

## SUBMITTED BY

Name (Print/Type) Jeremy R. Kriegel

Registration No. (Attorney/Agent)

39,257

Complete (if applicable)

Telephone (312) 474-9575

Signature

Jeremy R. Kriegel

Date

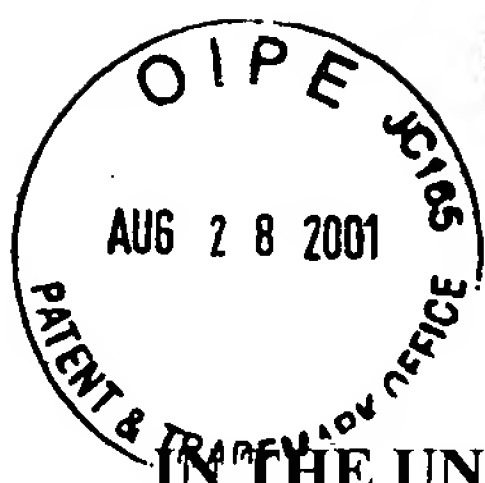
April 7, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV233431794US, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: April 7, 2003

Signature:

(Richard Zimmermann)



*Section \$*

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Application of:**

Cannon et al.

**Serial No.:** 09/864,927

**Filed:** May 24, 2001

**For:** METHOD AND APPARATUS FOR  
GAMING MACHINES WITH A  
TOURNAMENT PLAY BONUS FEATURE

**Examiner:** Unknown

**Group Art Unit:** 3713

**Attorney Docket No.:** 4624US  
(300-003-CIP)

**CERTIFICATE OF MAILING**

I hereby certify that this paper or fee along with any attachments referred to or identified as being attached or enclosed is being deposited with the United States Postal Service as First Class Mail (under 37 C.F.R. § 1.8(a)) on the date of deposit shown below with sufficient postage and in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

August 24, 2001  
Date of Deposit

*[Signature]*  
Signature of registered practitioner or other  
person having reasonable basis to expect mailing  
to occur on date of deposit shown pursuant to 37  
C.F.R. § 1.8(a)(1)(ii)

Joseph A. Walkowski  
Typed/printed name of person whose signature is  
contained above

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Attention: Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

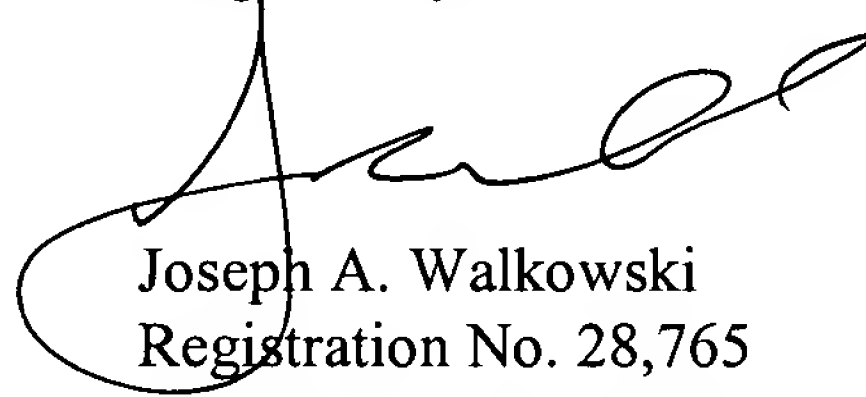
Enclosed is a copy of the Notice to File Missing Parts of Application, along with the following required items in connection with the above-referenced application: Declaration for Patent Application (With Power of Attorney) (2 total pages). This document is being filed within two (2) months from the mailing date of the Notice to File Missing Parts.

Also enclosed are Preliminary Amendment with Appendix A (containing paragraphs [0001] through [0091]), Appendix B (containing paragraphs [0001] through [0091]), Appendix C (containing currently pending claims 1 through 47), and Appendix D (containing amended claims 5, 7, 8, 10, 11, 15, 16, 19, 21-24, 26, 27, 31, 32, 38-43 and 47), Letter to the Chief Draftsman and attached revised figures with annotations in red (1 sheet, 1 figure); Transmittal of Formal

Drawings Prior to Notice of Allowance; Formal Drawings (4 sheets, 5 figures); Information Disclosure Statement with Form PTO-1449 and attached references.

A check in the amount of \$1,566.00 is enclosed in payment of all required fees. If the amount of the check is insufficient, please debit Deposit Account No. 20-1469 for the remainder of the fee. If the amount is in excess of that required, please credit that deposit account.

Respectfully submitted,



Joseph A. Walkowski  
Registration No. 28,765  
Attorney for Applicants  
TRASKBRITT, PC  
P. O. Box 2550  
Salt Lake City, Utah 84110-2550  
Telephone: (801) 532-1922

Date: August 24, 2001

JAW/dlm

Enclosures: Copy of Notice To File Missing Parts of Application  
Declaration for Patent Application (With Power of Attorney) (2 total pages)  
Check No. 17189 in the amount of \$1,566.00  
Preliminary Amendment with Appendix A, Appendix B, Appendix C, and  
Appendix D,  
Letter to the Chief Draftsman and attached revised figures with annotations in red  
(1 sheet, 1 figure);  
Transmittal of Formal Drawings Prior to Notice of Allowance (1 page); and  
Formal Drawings (4 sheets, 5 figures)  
Information Disclosure Statement (3 pages) with Form PTO-1449 (3 pages) and  
attached references

N:\2727\4624\Response to NFMP.wpd

#5



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/864,927	05/24/2001	Lee E. Cannon	4624US (300-006)

CONFIRMATION NO. 2424

24247  
TRASK BRITT  
P.O. BOX 2550  
SALT LAKE CITY, UT 84110

## FORMALITIES LETTER



\*OC000000006227672\*

Date Mailed: 06/26/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/30/2001 BNGUYEN1 00000008 09864927

01	FE:101	710.00 OP	FILED UNDER 37 CFR 1.53(b)
02	FE:103	486.00 OP	
03	FE:102	240.00 OP	
04	FE:105	130.00 OP	

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$726.
  - \$486 for 27 total claims over 20.
  - \$240 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1566.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

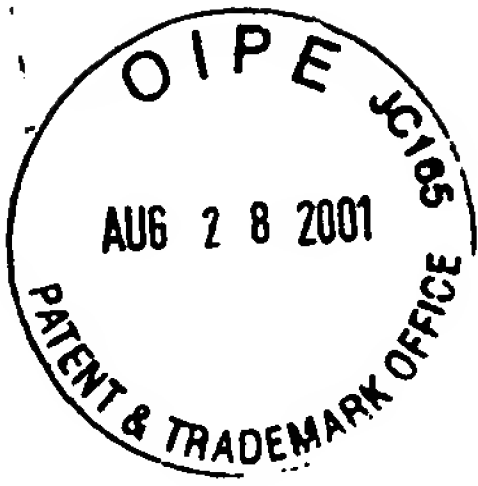
*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09364927-033301



3

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Application of:**

Cannon et al.

**Serial No.:** 09/864,927

**Filed:** May 24, 2001

**For:** METHOD AND APPARATUS FOR  
GAMING MACHINES WITH A  
TOURNAMENT PLAY BONUS FEATURE

**Examiner:** Unknown

**Group Art Unit:** 3713

**Attorney Docket No.:** 4624US (300-003-  
CIP)

**CERTIFICATE OF MAILING**

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August 24, 2001  
Date of Deposit

Signature of registered practitioner or other  
person having reasonable basis to expect mailing  
to occur on date of deposit shown pursuant to 37  
C.F.R. § 1.8(a)(1)(ii)

Joseph A. Walkowski  
Typed/printed name of person whose signature is  
contained above

**TRANSMITTAL OF FORMAL DRAWINGS PRIOR TO NOTICE OF ALLOWANCE**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Attached please find the formal drawings for this application.

Respectfully submitted,

Joseph A. Walkowski  
Registration No. 28,765  
Attorney for Applicants  
TRASKBRITT, PC  
P. O. Box 2550  
Salt Lake City, Utah 84110-2550  
Telephone: (801) 532-1922

Date: August 24, 2001  
JAW/df/dlm

09/864,927 - 08/28/01





**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Application of:**

Cannon et al.

**Serial No.:** 09/864,927

**Filed:** May 24, 2001

**For:** METHOD AND APPARATUS FOR  
GAMING MACHINES WITH A  
TOURNAMENT PLAY BONUS FEATURE

**Examiner:** Unknown

**Group Art Unit:** 3713

**Attorney Docket No.:** 4624US (300-003-CIP)

**CERTIFICATE OF MAILING**

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August 24, 2001  
Date of Deposit

Signature of registered practitioner or other person  
having reasonable basis to expect mailing to occur  
on date of deposit shown pursuant to 37 C.F.R. §  
1.8(a)(1)(ii)

Joseph A. Walkowski  
Typed/printed name of person whose signature is  
contained above

**LETTER TO THE CHIEF DRAFTSMAN**

Box No Fee Amendment  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

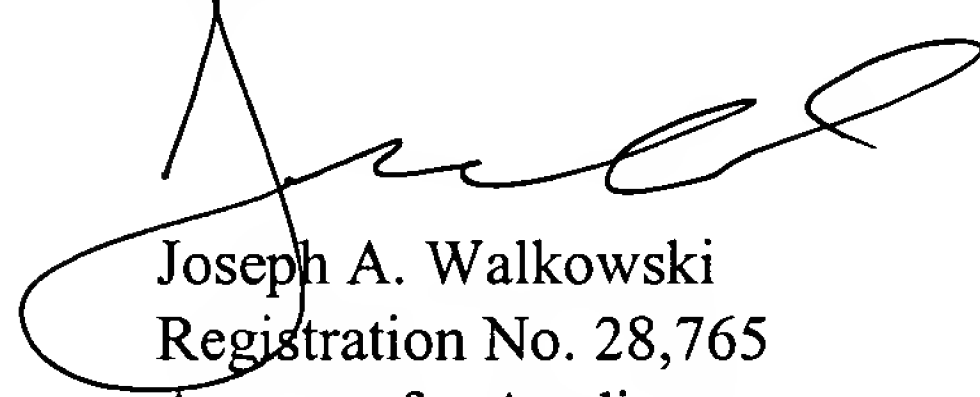
Applicants submit herewith revised FIG. 1 which corrects an error in the drawings. Specifically, FIG. 1 has been revised to change the lead line/arrow for reference numeral 200 in the upper right hand corner of the drawing. Attached is a copy of the drawing with the proposed change marked in red.



Serial No.: 09/864,927

No new matter has been added. Approval of the proposed revision is respectfully requested.

Respectfully submitted,



Joseph A. Walkowski  
Registration No. 28,765  
Attorney for Applicants  
TRASKBRITT, PC  
P. O. Box 2550  
Salt Lake City, Utah 84110-2550  
Telephone: (801) 532-1922

Date: August 24, 2001

JAW/df/dlm

Enclosure: Drawing with change marked in red

09/864,927 - 08/28/01